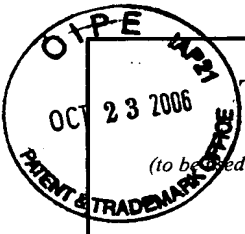


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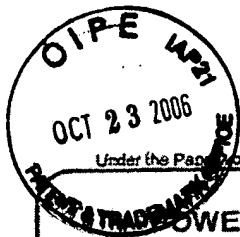


<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)		Application Number	09/576,370
		Filing Date	May 22, 2000
		First Named Inventor	Robert H. Grubbs
		Group Art Unit	
		Examiner Name	
Total Number of Pages in This Submission	9	Attorney Docket Number	37599/9

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply (\$_____) <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request (\$_____) <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement (\$_____) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Notice to File Missing Parts/ Incomplete Application (\$_____) <input type="checkbox"/> A copy of the Notice to File Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Declaration and Power of Attorney <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition (\$_____) <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer (\$_____) <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (\$_____) (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Application Data Sheet <input type="checkbox"/> Request for Corrected Filing Receipt with Enclosures <input checked="" type="checkbox"/> A self-addressed, prepaid postcard for acknowledging receipt <input type="checkbox"/> Check in the amount of \$_____ <input checked="" type="checkbox"/> Statement Under 37 CFR 3.73(b) (with attachments)
Remarks	<input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 14-1138 for the above identified docket number.	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Michael L. Goldman Nixon Peabody LLP Clinton Square, P.O. Box 31051 Rochester, New York 14603-1051 Telephone: (585) 263-1304 Fax: (585) 263-1600
Signature	 Registration No. 30,727
Date	October 19, 2006

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]	
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PTO/SB/81 (01-05)  
Approved for use through 12/31/2008. OMB 0651-0035  
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**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	09/576,370
Filing Date	May 22, 2000
First Named Inventor	GRUBBS, Robert H.
Title	
Art Unit	
Examiner Name	
Attorney Docket Number	

I hereby revoke all previous powers of attorney given in the above-identified application.

I hereby appoint:

☐ Practitioners associated with the Customer Number:

OR

☒ Practitioner(s) named below:

Name	Registration Number
Ronald I. Eisenstein	30,628
Michael L. Goldman	30,727

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☐ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

☒ Firm or Individual Name: Nixon Peabody LLP

Address: Clinton Square  
P.O. Box 31051

City: Rochester

State: NY

Zip: 14603

Country: US

Telephone: (585) 263-1600

Email:


I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

**SIGNATURE of Applicant or Assignee of Record**

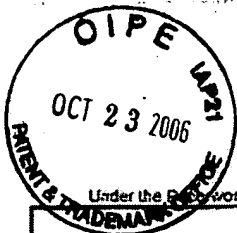
Signature		Date	OCT 11 2007
Name	Adam Cochran	Telephone	626-395-4567
Title and Company	The Intellectual Property Counsel		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ Total of \_\_\_\_\_ forms are submitted.

This collection of information is required by 37 CFR 1.31, 1.32 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the PTO to process) a patent, trademark, or other intellectual property. The information is required to be provided by the PTO and will be made available to the public. Comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Robert H. Grubbs

Application No./Patent No.: 09/576,370

Filed/Issue Date: May 22, 2000

Entitled: IMIDAZOLIDINE-BASED METAL CARBENE METATHESIS CATALYSTS

California Institute of Technology  
(Name of Assignee)

B University  
(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

A ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

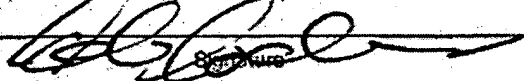
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The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
Signature

OCT 11 2007

Date

626-395-4567

Telephone Number

Printed or Typed Name  
Adam Cochran  
The Intellectual Property Counsel  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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\*700143831\*

JANUARY 13, 2005

PTAS

REED INTELLECTUAL PROPERTY LAW GROUP  
DIANNE E. REED  
800 MENLO AVENUE, SUITE 210  
PALO ALTO, CA 94304-1126

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RECORDATION DATE: 01/06/2005

REEL/FRAME: 015559/0060  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).  
DOCKET NUMBER: 1950-0010

ASSIGNOR:

GRUBBS, ROBERT H.

DOC DATE: 06/06/2000

ASSIGNOR:

SCHOLL, MATTHIAS

DOC DATE: 06/12/2000

ASSIGNEE:

CALIFORNIA INSTITUTE OF TECHNOLOGY  
1200 EAST CALIFORNIA BOULEVARD  
PASADENA, CALIFORNIA 91125

SERIAL NUMBER: 09576370

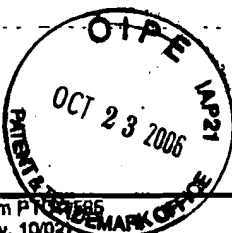
FILING DATE: 05/22/2000

PATENT NUMBER:

ISSUE DATE:

TITLE: IMIDAZOLIDINE-BASED METAL CARBENE METATHESIS CATALYSTS

RHONDA NICOL, SUPERVISOR  
ASSIGNMENT DIVISION  
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700143831

Atty Dkt No. 1950-0010  
Caltech No. 3021

Form PTO-585  
(Rev. 10/02)  
OMB No. 0651-0027 (exp. 6/30/2005)

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ROBERT H. GRUBBS  
MATTHIAS SCHOLL

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other

Execution Date: June 6 and 12, 2000

2. Name and address of receiving party:

Name: CALIFORNIA INSTITUTE OF TECHNOLOGY  
Internal Address:

Street Address: 1200 East California Boulevard

City: Pasadena State: CA Zip: 91125

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s): 09/576,370

B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Dianne E. Reed, Registration No. 31,292  
Internal Address:

Street Address: Reed Intellectual Property  
Law Group  
800 Menlo Avenue, Suite 210  
City: PALO ALTO State: CA Zip: 94304-1126

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) ..... \$ 40.00

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Name of Person Signing

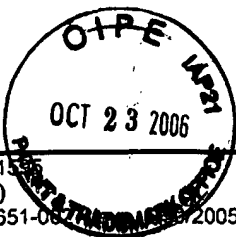
*Dianne E. Reed*  
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January 6, 2005  
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ROBERT H. GRUBBS  
MATTHIAS SCHOLL

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B. Patent No.(s): \_\_\_\_\_

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800 Menlo Avenue, Suite 210  
City: PALO ALTO State: CA Zip: 94304-1126

6. Total number of applications and patents involved: 1

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Name of Person Signing

Dianne E. Reed  
Signature

January 6, 2005  
Date

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Attn.: Tanuja V. Garde  
50 Fremont Street  
Fifth Floor  
San Francisco, CA 94105-2230

Atty. Dkt.	MS-260726	CIT-3021
	M#	Client Ref.

**ASSIGNMENT**  
**of U.S. Origin Patent Application**

WHEREAS, the undersigned, to wit:

- |                     |                    |
|---------------------|--------------------|
| 1) ROBERT H. GRUBBS | 2) MATTHIAS SCHOLL |
| 3) _____            | 4) _____           |
| 5) _____            | 6) _____           |
| 7) _____            | 8) _____           |

(hereinafter collectively ASSIGNOR), has/have made an invention known as Dkt. PMS-260726 [CIT-3021]

and entitled: **IMIDAZOLIDINE-BASED METAL CARBENE METATHESIS CATALYSTS**

for which an application for Letters Patent of the United States

☐ was executed even date herewith and is about to be filed in the United States Patent and Trademark Office;

☐ was filed on May 22, 2000, Appln. No. 09/ ;

AND WHEREAS CALIFORNIA INSTITUTE OF TECHNOLOGY

(hereinafter ASSIGNEE), duly organized and existing under the laws of the State of California

and having its principal office and place of business at 1200 E. California Blvd., Pasadena, CA 91125

desires to acquire an interest therein;

NOW, THEREFORE, in consideration of Ten Dollars (\$10.00) and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the said ASSIGNOR, does hereby sell, assign and transfer unto ASSIGNEE, its successors, assigns and legal representatives, the full and exclusive right, title and interest to the said invention in the United States and all foreign countries, as described in the aforesaid application, and to the said application and to all continuations, divisions, reissues and substitutes of said application, together with the right of priority under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and ASSIGNOR hereby authorizes and requests the Commissioner of Patents to issue said Letters Patent to ASSIGNEE, for its interest as ASSIGNEE, its successors, assigns and legal representatives.



AND ASSIGNOR hereby agrees to execute any papers requested by ASSIGNEE, its successors, assigns and legal representatives, deemed essential to ASSIGNEE's full protection and title in and to the invention hereby transferred.

ASSIGNOR furthermore agrees upon request of said ASSIGNEE, and without further remuneration, to execute any and all papers desired by said ASSIGNEE for the filing and granting of foreign applications and the perfecting of title thereto in said ASSIGNEE.

NOTE: The undersigned hereby authorizes Pillsbury Madison & Sutro LLP of the above address to insert hereon any further identification necessary or desirable for recordation of this document.


Executed on the date(s) below indicated.

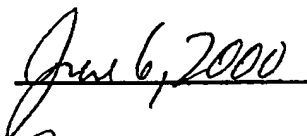
Signature

Date Signed

Witness

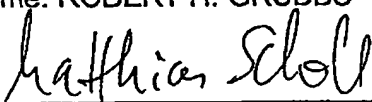
1)

  
Name: ROBERT H. GRUBBS





2)

  
Name: MATTHIAS SCHOLL

